

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Before the Examiner:  
Calderaro, et al. :  
Serial No.: 09/895,977 : Group Art Unit: 2163  
Filed: June 29, 2001 : Intellectual Property  
Title: System and Method for : Law Department  
Organizational Risk Based on : International Business  
Personnel Planning Factors : Machines Corporation  
: 11400 Burnet Road  
: Austin, Texas 78758

**PETITION TO CORRECT INVENTORSHIP UNDER 37 CFR 1.48(a)**

Assistant Commissioner of Patents  
Washington, D. C. 20231

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Received

JAN 15 2003

MAY 22 2002

Dear Sir:

Technology Center 2100

Technology Center 2100

Applicants respectfully petition to correct inventorship of the above-identified application for patent by adding the following previously unnamed inventors of this application:

Catherine Marshall Baritell  
Ann Haigler Spivey

Attached is a Statement Under 37 CFR 1.48(a)(2) from Catherine Marshall Baritell.

Attached is a Statement Under 37 CFR 1.48(a)(2) from Ann Haigler Spivey.

AUS920010235US1

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GROUP 3600

Attached is the written Consent of the Assignee.

Attached is a Certificate Under 37 C.F.R. 3.73(b).

Attached is a Declaration by each of the actual inventors.

In view of the statements from the newly added inventors and the declaration by each of the actual inventors, it is submitted that Catherine Marshall Baritell and Ann Haigler Spivey were not named as inventors through error without any deceptive intention on the part of the actual inventors. Thus, Applicants respectfully request that this petition to add inventors be granted.

The Commissioner is hereby authorized to charge payment of the \$130 fee as set forth in 37 CFR 1.17(i) to Deposit Account 09-0447. A duplicate copy of this sheet is enclosed.

BY Leslie A. Van Leeuwen

Leslie A. Van Leeuwen  
Attorney for Applicant(s)  
Registration No. 42,196  
(512) 823-6746

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STATEMENT UNDER 37 C.F.R. SECTION 1.48(a) (2)  
by Catherine Marshall Baritell

Assistant Commissioner of Patents  
Washington, D. C. 20231

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Received

MAY 22 2002

Dear Sir:

JAN 15 2003

Technology Center 2100

Technology Center 2100

I, Catherine Marshall Baritell, state that I am a joint inventor of the above-identified application for patent.

The subject application was inadvertently filed omitting my name as a joint inventor through error and without deceptive intention on my part.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true.

April 25, 2002

Date

Catherine Marshall Baritell

Catherine Marshall Baritell

AUS920010235US1

1

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**STATEMENT UNDER 37 C.F.R. SECTION 1.48(a)(2)**  
**by Ann Haigler Spivey**

Assistant Commissioner of Patents  
Washington, D. C. 20231

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JAN 1 5 2003

MAY 2 2 2002

Dear Sir:

Technology Center 2100 Technology Center 2100

I, Ann Haigler Spivey, state that I am a joint inventor of the above-identified application for patent.

The subject application was inadvertently filed omitting my name as a joint inventor through error and without deceptive intention on my part.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true.

April 24, 2002  
Date

Ann Haigler Spivey  
Ann Haigler Spivey

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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JAN 10 2003

Technology Center 2100 CERTIFICATE UNDER 37 C.F.R. SECTION 3.73(b)

Assistant Commissioner of Patents  
Washington, D. C. 20231

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MAY 28 2002

Technology Center 2100 GROUP 3600

International Business Machines Corporation, a Corporation, certifies that it is the assignee of the entire right, title and interest in the above-identified patent application by virtue of an assignment from the inventors of the above-identified patent application. The assignment was recorded in the Patent and Trademark Office at Reel 011977, Frame 0539, a copy of which is attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

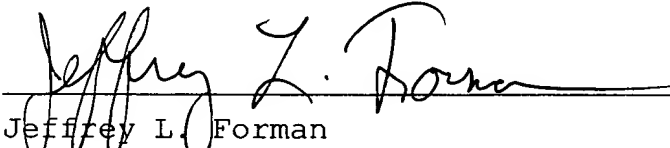
I hereby declare that all statements made herein are of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are

AUS920010235US1

punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 22 May 2002

By:

  
\_\_\_\_\_  
Jeffrey L. Forman  
Manager, Information Services  
Intellectual Property Law, Washington

LETTER OF AUTHORITY

I, Marshall C. Phelps, Vice President, Intellectual Property and Licensing of International Business Machines Corporation (IBM), a New York corporation, do hereby delegate the authority to approve and execute documents on behalf of IBM relating to proceedings in the Patent, Trademark Registration or Copyright Offices servicing any country or region of the world, or to related appeal proceedings, including, but not limited to: petitions; powers of Attorney; authorizations; verification; nominations of representatives; declarations; documents relating to maintenance and defense of the resulting industrial property rights; assignments of rights to apply for and acquire patents and trademark registrations, and evidence of such assignments; request for the registration of patents as available for licensing; reports of inventions and petitions for waiver of patent rights to any department or agency of the United States Government; and, assignments, licenses and other instruments confirmatory of Government rights in patents and inventions, to Jeffrey L. Forman, Manager, Information Services, Intellectual Property Law, Washington.

Date:

3/25/96

Marshall C. Phelps, Jr.

Marshall C. Phelps, Jr.  
Vice President - Intellectual Property & Licensing  
International Business Machines Corporation

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CONSENT TO ADD INVENTORS

Assistant Commissioner of Patents  
Washington, D. C. 20231

**RECEIVED**

MAY 3 1 2002

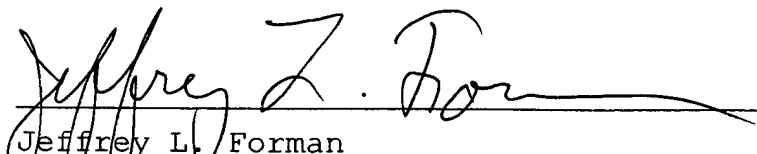
Dear Sir:

Technology Center 2100

International Business Machines Corporation, the original sole assignee of the entire right, title and interest in and to the above-identified application hereby consents to the addition of Catherine Marshall Baritell and Ann Haigler Spivey as joint inventors in the U.S. Patent Application identified above.

INTERNATIONAL BUSINESS MACHINES CORPORATION

By:

  
Jeffrey L. Forman

Manager, Information Services

Intellectual Property Law, Washington

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**Received**

MAY 2 2 2002

Technology Center 2100

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JAN 1 5 2003

Technology Center 2100

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JAN 1 6 2003

**GROUP 3600**



LETTER OF AUTHORITY

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Date:

3/25/96

Marshall C. Phelps, Jr.

Marshall C. Phelps, Jr.  
Vice President - Intellectual Property & Licensing  
International Business Machines Corporation

**DECLARATION AND POWER OF ATTORNEY FOR  
PATENT APPLICATION****RECEIVED**

JAN 16 2003

**GROUP 3600**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**SYSTEM AND METHOD FOR ORGANIZATIONAL RISK BASED ON PERSONNEL  
PLANNING FACTORS**

the specification of which (check one)

**RECEIVED**

JAN 15 2003

Technology Center 2100

Received

MAY 22 2002

Technology Center 2100

\_\_\_ is attached hereto.

X was filed on June 29, 2001  
as Application Serial No. 09/895,977  
and was amended on \_\_\_\_\_  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or (f), or 365(b) of any foreign applications(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, any foreign application for patent inventor's or plant breeder's rights certificate(s) or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s):

Priority Claimed

Certified Copy Attached

\_\_\_\_ Yes \_\_\_\_ No      \_\_\_\_ Yes \_\_\_\_ No

(Number)

(Country)

(MM/DD/YYYY)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

John W. Henderson, Jr., Reg. No. 26,907; James H. Barksdale, Jr., Reg. No. 24,091; Thomas E. Tyson, Reg. No. 28,543; Robert M. Carwell, Reg. No. 28,499; Jeffrey S. LaBaw, Reg. No. 31,633; Douglas H. Lefevre, Reg. No. 26,193; Casimer K. Salys, Reg. No. 28,900; David A. Mims, Jr., Reg. No. 32,708; Mark E. McBurney, Reg. No. 33,114; Leslie A. Van Leeuwen, Reg. No. 42,196; Christopher A. Hughes, Reg. No. 26,914; Stanley B. Green, Reg., No. 24,351; John E. Hoel, Reg. No. 26,279; Joseph C. Redmond, Jr., Reg. No. 18,753; and Marilyn S. Dawkins, Reg. No. 31,140, Cynthia S. Byrd, Reg. No. 39,365, Joseph T. Van Leeuwen, Reg. No. 44, 383.

Send correspondence to: **Joseph T. Van Leeuwen, P.O. Box 81641, Austin, Texas 78708-1641** and **direct all telephone calls to (512) 301-6738.**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF SOLE OR FIRST INVENTOR: Michael Joseph Calderaro

INVENTORS SIGNATURE: Michael Joseph Calderaro DATE: 5/1/2

RESIDENCE: 401 Explorer St.  
Austin, Texas 78734

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

FULL NAME OF SECOND INVENTOR: Robert John Castro

INVENTORS SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

RESIDENCE: 406 Autumnngate Drive  
Raleigh, North Carolina 27606

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

FULL NAME OF THIRD INVENTOR: Corrine Glavin Krumenacker

INVENTORS SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

RESIDENCE: 2200 Heathrowe Place  
Raleigh, North Carolina 27609

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

FULL NAME OF FOURTH INVENTOR: Lynn P. Lepore

INVENTORS SIGNATURE: Lynn P. Lepore DATE: 5-01-02

RESIDENCE: 3707 Hidden Estates Drive  
Austin, Texas 78727

CITIZENSHIP: USA

PO ST OFFICE ADDRESS: Same as above

FULL NAME OF FIFTH INVENTOR: William Daniel Ordway, Jr.

INVENTORS SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

RESIDENCE: 8 Edgcombe Ct  
Smithfield, North Carolina 27577

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

FULL NAME OF SIXTH INVENTOR: Patricia E. Vickers

INVENTORS SIGNATURE: Patricia E. Vickers DATE: 5/01/02

RESIDENCE: 2213 Macaw Drive  
Cedar Park, Texas 78613

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

FULL NAME OF SEVENTH INVENTOR: Catherine Marshall Baritell

INVENTORS SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

RESIDENCE: 4204 Windsor Place  
Raleigh, North Carolina 27609

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

FULL NAME OF EIGHTH INVENTOR: Ann Haigler Spivey

INVENTORS SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

RESIDENCE: 8101 Kingsland Drive  
Raleigh, North Carolina 27613

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

**DECLARATION AND POWER OF ATTORNEY FOR  
PATENT APPLICATION**

**Received**  
**MAY 22 2002**

As a below named inventor, I hereby declare that:

**Technology Center 2100**

My residence, post office address and citizenship are as stated below next to my name;

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the specification of which (check one)

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Prior Foreign Application(s):			Priority Claimed	Certified Copy Attached
(Number)	(Country)	(MM/DD/YYYY)	____ Yes ____ No	____ Yes ____ No
_____	_____	_____		

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INVENTORS SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

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Austin, Texas 78734

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

FULL NAME OF SECOND INVENTOR: Robert John Castro

INVENTORS SIGNATURE: Robert John Castro DATE: April 24, 2002

RESIDENCE: 406 Autumnngate Drive  
Raleigh, North Carolina 27606

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

FULL NAME OF THIRD INVENTOR: Corrine Glavin Krumenacker

INVENTORS SIGNATURE: 

DATE: April 24, 2002

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CITIZENSHIP: USA

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FULL NAME OF FIFTH INVENTOR: William Daniel Ordway, Jr.

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CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above



FULL NAME OF SIXTH INVENTOR: Patricia E. Vickers

INVENTORS SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

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CITIZENSHIP: USA

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FULL NAME OF EIGHTH INVENTOR: Ann Haigler Spivey

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# **DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

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the specification of which (check one)

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POST OFFICE ADDRESS: Same as above

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INVENTORS SIGNATURE: William Daniel Ordway, Jr. DATE: 4-24-2002

RESIDENCE: 8 Edgecombe Ct  
Smithfield, North Carolina 27577

CITIZENSHIP: USA

POST OFFICE ADDRESS: Same as above

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INVENTORS SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

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CITIZENSHIP: USA

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CITIZENSHIP: USA

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_____ (Number)	_____ (Country)	_____ (MM/DD/YYYY)	___ Yes ___ No	___ Yes ___ No
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POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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